

As an Internal Auditor, you will be integral in ensuring clients are treated fairly and receive positive outcomes wherever possible. You will undertake regular client file reviews and internal audits to demonstrate compliance with systems and controls requirements, including risk management and governance processes. This is an excellent opportunity for an experienced file checker with a background in Financial Services, who is looking to advance their career within a highly successful and growing firm.

Responsibilities & Accountabilities

Reporting to Compliance and Policy Manager, your key responsibilities will include:

- Manage the file review and pre-approval processes, ensuring files are reviewed in line with the T&C Scheme and levels of supervision
- Undertake file checks on client cases across all Progeny businesses
- Prepare MI on file checks undertaken, identifying trends and potential areas of risk / non-compliance
- Ensure all remedial action on client files is undertaken
- Work closely with the T&C Manager to ensure development plans are created where required
- Undertake audits of all office locations focusing on operational effectiveness and compliance with all firm policies and processes
- Prepare and present reports that reflect the audit's results
- Identify weaknesses in process and recommend solutions to mitigate risk
- Conduct follow up audits to monitor management interventions
- Maintain up to date knowledge and understanding of appropriate regulations and internal policies and procedures, including money laundering regulations, General Data Protection Regulations, FCA Handbook and firm standards of client service

Person Specification

- File checking experience gained within Financial Services/IFA background is essential
- Audit experience – preferable
- Paraplanning / report writing experience
- Experience of Intelligent Office preferable
- Be familiar with Product Provider websites and on-line systems
- Demonstrate excellent attention to detail and focus
- Proactive and enthusiastic individual, with good organisational and customer care skills
- Ability to manage own time effectively, with an ability to work under pressure to deadlines
- Be able to build and maintain excellent stakeholder relationships with all parts of the business
- Diploma in Financial Planning
- CeMAP or equivalent
- Other specialist technical exams desirable such as G60/AF3

Benefits

- Competitive salary of up to £35k (experience dependant)
- 25 days annual leave in addition to bank holidays
- Additional days holiday for your Birthday
- Group Pension Scheme and Private Health Care Scheme
- Life Assurance Scheme